

CONTINUING (1.53(b)) UTILITY PATENT APPLICATION TRANSMITTAL

(Only for continuing applications under 37 CFR 1.53(b))

Attorney Docket No.
1330.1013-C2

First Named Inventor: Donald A. SMALLEY et al.

Title: SYSTEM FOR MANAGING REGULATED ENTITIES

Express Mail Label No.

PTO
09/837428

04/19/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form
2. ☒ Specification, Claims & Abstract [Total Pages: 45]
3. ☒ Drawing(s) (35 USC 113) [Total Sheets: 8] [FIGS. 1-11]
4. ☒ Oath or Declaration [Total Pages: 2]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63(d)) (see Box 18)
5. ☐ This application is filed by fewer than all the inventors named in the prior nonprovisional application.
 - a. ☐ DELETE the following inventor(s) named in the prior nonprovisional application:
 - b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
6. ☐ Applicant claims small entity status.
7. ☒ Incorporation by Reference (usable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
8. ☐ Applicant Data Sheet. See 37 C.F.R. 1.76.
9. ☐ CD-Rom or CD-R in duplicate, large table or Computer Program (Appendix)
10. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. ☐ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii ☐ paper
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

11. ☐ Assignment Papers (cover sheet & document(s))
12. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
13. ☐ English Translation Document (if applicable)
14. ☐ Foreign priority benefit under 35 U.S.C. §119 is claimed.
 - a. ☐ Certified Copy of Priority Document(s) filed in prior application No. / .
 - b. ☐ Certified Copy of Priority Document(s) enclosed.
 - c. ☐ Certified Copy of Priority Document(s) to follow.
15. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
16. ☒ Preliminary Amendment
 - a. ☒ enclosed herewith.
 - b. ☒ incorporated herein (see Box 18).
17. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
18. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
19. ☐ Other:

20. CONTINUING APPLICATION, check appropriate box and supply the requisite information below:☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09/528,718Prior application information: Examiner: H. AlamGroup/Art Unit: 2172

* * *

Preliminary Amendment:☐ Cancel in this application original claims _____ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)☒ Amend the specification by inserting before the first line the sentence:

--This application is a continuation of application serial number 09/528,718, filed March 20, 2000, now allowed, which is a continuation of application serial no. 09/209,282, filed December 11, 1998, now U.S. Patent No. 6,067,549, issued May 23, 2000.--

21. NEW CORRESPONDENCE ADDRESS * CUSTOMER NO. 21,171

21171

PATENT TRADEMARK OFFICE

22. SIGNATURE OF ATTORNEY OR AGENT

NAME	J. Randall Beckers	REGISTRATION NO.	30,358
SIGNATURE		DATE	April 19, 2001

NEW APPLICATION FEE TRANSMITTAL

Attorney Docket No. 1330.1013-C2

Application Number To Be Assigned

Filing Date Herewith

AMOUNT ENCLOSED

\$

First Named Inventor

Donald A. SMALLEY et al.

FEE CALCULATION (fees effective 10/01/00)

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS	37 - 20 =	17	X \$ 18.00 =	\$ 306.00
	INDEPENDENT CLAIMS	14 - 3 =	11	X \$ 80.00 =	880.00
	MULTIPLE DEPENDENT CLAIMS (any number; if applicable)			+ \$270.00 =	
	BASIC FILING FEE				710.00
	Total of above Calculations =				\$ 1,896.00
	Surcharge for late filing fee, Statement or Power of Attorney (\$130.00)				+
	Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27 & 1.28).				-
	TOTAL FILING FEE =				\$ 1,896.00
	Surcharge for filing non-English language application (\$130.00; 37 CFR 1.52(d))				+
	Recordation of Assignment (\$40.00; 37 CFR 1.21(h)(1))				+
	TOTAL FEES DUE =				\$ 1,896.00

METHOD OF PAYMENT

- ☒ Check enclosed as payment.
- ☐ Charge "TOTAL FEES DUE" to the Deposit Account No., below.
- ☐ No payment is enclosed and no charges to the Deposit Account are authorized at this time (unless specifically required to obtain a filing date).

GENERAL AUTHORIZATION

- ☒ If the above-noted "AMOUNT ENCLOSED" is not correct, the Commissioner is hereby authorized to credit any overpayment or charge any additional fees necessary to:

Deposit Account No.

19-3935

Deposit Account Name

STAAS & HALSEY LLP

- ☒ The Commissioner is also authorized to credit any overpayments or charge any additional fees required under 37 CFR 1.16 (filing fees) or 37 CFR 1.17 (processing fees) during the prosecution of this application, including any related application(s) claiming benefit hereof pursuant to 35 USC § 120 (e.g., continuations/divisionals/CIPs under 37 CFR 1.53(b) and/or continuations/divisionals/CPAs under 37 CFR 1.53(d)) to maintain pendency hereof or of any such related application.

SUBMITTED BY: STAAS & HALSEY LLP

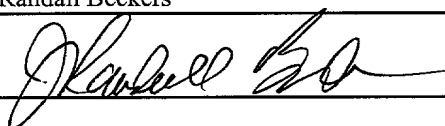
Typed Name

J. Randall Beckers

Reg. No.

30,358

Signature



Date

April 19, 2001